

Readiness Proposal

with Fundacion Avina for the Republic of Ecuador

26 October 2018 | Strategic Frameworks



**GREEN
CLIMATE
FUND**

Readiness and Preparatory Support Proposal

How to complete this document?

- A Readiness Guidebook is available to provide information on how to access funding under the GCF Readiness and Preparatory Support programme. It should be consulted to assist in the completion of this proposal template.
- This document should be completed by National Designated Authorities (NDAs) or focal points with support from their delivery partners where relevant.
- Please be concise. If you need to include any additional information, please attach it to the proposal.
- Information on the indicative list of activities eligible for readiness and preparatory support and the process for the submission, review and approval of this proposal can be found on pages 11-13 of the guidebook.
- For the final version submitted to GCF Secretariat, please delete all instructions indicated in italics in this template and provide information in regular text (not italics).

Where to get support?

- If you are not sure how to complete this document, or require support, please send an e-mail to countries@gcfund.org. We will aim to get back to you within 48 hours.
- You can also complete as much of this document as you can and then send it to countries@gcfund.org. We will get back to you within 5 working days to discuss your submission and the way forward.

Note: Environmental and Social Safeguards and Gender

Throughout this document, when answering questions and providing details, please make sure to pay special attention to environmental, social and gender issues, particularly to the situation of vulnerable populations, including women and men. Please be specific about proposed actions to address these issues. Consult page 7 of the readiness guidebook for more information.

SECTION 1: SUMMARY	
1. Country submitting the proposal	<p>Country name: Ecuador</p> <p>Name of institution representing National Designated Authority (NDA) or Focal Point:</p> <p>Name of NDA/Focal Point: María Victoria Chiriboga Position: Undersecretary of Climate Change</p> <p>Telephone: +593 2 398 7600 Email: maria.chiriboga@ambiente.gob.ec</p> <p>Full office address: Madrid 1159 y Andalucía, Quito-Ecuador</p>
2. Date of initial submission	30/09/2017
3. Last date of resubmission	03/10/2018 (if applicable)
4. Which entity will implement the Readiness and Preparatory Support project?	<p><input type="checkbox"/> National Designated Authority <input checked="" type="checkbox"/> Accredited Entity <input type="checkbox"/> Delivery Partner</p> <p>(Please provide contact information if the implementing partner is not the NDA/focal point)</p> <p>Name of institution: Fundación Avina</p> <p>Name of official: Andrea Rodriguez Position: GCF Focal Point</p> <p>Telephone: 5555019972 Email: andrea.rodriguez@avina.net</p> <p>Full Office address: Avenida Paseo De La Reforma 296, Col Juárez, 06600, Mexico City. Mexico</p>
5. Title of the Readiness support proposal	Enhance the capacity of Decentralized Autonomous Governments to access and manage climate finance in Ecuador and contribute to the implementation of the NDC
6. Type of Readiness support sought	<p>Please select one option below (one box or circle)</p> <p><input type="checkbox"/> Readiness</p> <ul style="list-style-type: none"> <input type="radio"/> Establishing and strengthening national designated authorities or focal points <input type="radio"/> <u>Strategic frameworks, including the preparation of country programmes</u> <input type="radio"/> Support for accreditation and accredited direct access entities <p><input type="checkbox"/> Adaptation Planning</p>
7. Brief summary of the request	<p>Please include a brief description of the general readiness context; specific readiness challenge; solution/outcome identified; how GCF Readiness support activities will advance this solution; and how this change will be visible over time. (200 words maximum)</p> <p>The proposal aims to strengthen the capacities of the Decentralized Autonomous Governments (DAGs) at the province level in Ecuador to be able to access climate finance from the Green Climate Fund and other sources of finance for the implementation of strategic and prioritized climate related activities. In addition, provincial authorities will have capacities in place to contribute to the implementation of the National Determined Contributions (NDCs) of Ecuador. Enhancing the participation of Local Authorities in the design and development of climate solutions is essential to promote effective country ownership. Thus, readiness support is required to create tools that empower local authorities to strengthen the monitoring and evaluation of projects and programs and formulate climate change proposals¹.</p>

¹ The readiness proposal aims to provide specific support to local authorities as they strengthen climate knowledge, adopt tools to enhance management and assessment of climate related impacts, while enabling direct access to climate finance. This readiness proposal will also support country ownership processes. While the prior readiness proposal focuses on local authorities providing feedback on the country's work program, this proposal enables them to build their own climate change local processes.

	<p>The proposal has five specific objectives:</p> <ol style="list-style-type: none"> 1. Strengthen the knowledge of the Decentralized Autonomous Governments (DAGs) towards an effective understanding of climate change impacts; institutional mechanisms to support action and climate solutions for mitigation and adaptation that advance the implementation of NDCs. 2. Create a pipeline of climate change projects and programs per province and strengthen existing tools to monitor and evaluate projects and programs and access to climate finance². 3. Identify international and national (public) investments, including the DAGs' own resources that support and advance the implementation of climate priorities at the local level and enhance their efficient management. 4. Develop tools to design projects and programs, including those to strengthen monitoring and evaluation of climate impacts for local implementation and improve climate access to use of climate finance. 5. Formulate four concept notes that will be later presented to the GCF for consideration. <p>The concept notes will be chosen based on priorities identified in the project pipelines in the different provinces and will be in line with national priorities³. The steering committee will decide which of the projects ideas have the potential to be translated into bankable GCF projects⁴. The ideas will be assessed based on the criteria established in the methodology to prioritized projects elaborated by the NDA. The ideas selected will be also assessed by the The Inter-institutional Committee on Climate Change (CICC in Spanish) to validate and reassure alignment with the country's priorities and needs⁵.</p> <p>Once selected, four projects ideas will be transformed into concept notes and will be presented to the NDA for no objection prior to their formulation. The NDA will ensure these projects ideas are part of the GCF country program and help implementing the National Adaptation Plan. Finally, the majority of consultants hired under this proposals will be local consultants.</p>
<p>8. Total requested amount and currency</p>	<p><i>Please provide amount in Euros (€) or US dollars (US\$) only.</i></p> <p style="text-align: center;">559,516</p>
<p>9. Anticipated duration</p>	<p><i>Please specify duration in multiples of six months.</i></p> <p>18 months⁶</p>

² Project pipelines are the results of strategic processes that seek to advance consolidated and thought out priorities and needs identified at the local level. The pipelines designed under this readiness proposal, will feed the content of the country's work programme and/or will be incorporated when the country program is revised and updated. The NDA will ensure that proposals that result from this process are part of the context of the GCF country work program and eligible for seeking GCF resources. Project pipelines will help local governments seek other sources of finance beyond GCF. The revision of project pipelines at the municipality level will be an ongoing process and will be revised as part of two key local planning processes: the annual operative process and the plan for development and territorial planning, every four years, in which new project ideas will be included in such portfolios..

The project pipelines are not GCF exclusive, they are intended as investment instruments for DAGs that enable access to GCF resources and the potential to find co-investors or other sources of finance. These will be aligned to the priorities defined at the national level defined in the country program to ensure complementarity and coherence.

³ The readiness proposal that will help develop the country work program for Ecuador started implementation in May 2018. As part of the implementation, the NDA will develop their country work programme and as such, it will ensure there is coherence between products from different projects. The activities undertaken by other readiness proposals will be considered in the development of the country work program to ensure coherence and complementarity. The selected projects that will be develop into concept notes will be incorporated in a revised version of the country program to ensure they are develop into projects and are submitted for GCF consideration.

⁴ Congope is part of the Steering Committee, body of the decision-making process of this proposal.

⁵ This proposal is based on the New National Development Plan 2017-2021 – in which it is stated the importance to guarantee the rights of mother earth for the present and future generations and also to promote good practices by reducing and promoting conservation of the environment. The plan states the need to support activities that promote the reduction of vulnerability of people and the ecosystems.

⁶ The proposal is intended to be implemented in 18 months to ensure that all activities are implemented accordingly.

SECTION 2: LOGICAL FRAMEWORK

Please complete the table below by including proposed outcomes, baseline situations, the targets for implementation period, and the activities to be undertaken, including key outputs or deliverables. Please add rows for additional outcomes as needed. For further guidance on completing the table, please refer to the guidebook "Accessing the GCF Readiness and Preparatory Support Programme", including specific Outcomes to select from⁷.

OUTCOMES	BASELINE	TARGET	ACTIVITIES <i>Please include at least one specific deliverable output for each activity, and the timeframe (month number) in which it will be delivered to GCF.</i>
1. Country capacity strengthen.	1	2	<p>Decentralized Autonomous Government's knowledge on climate change and climate finance will enhanced⁸</p> <p>1.1. Design and implement a climate knowledge package for representatives of DAGs comprised of key information to use as guide for capacity building activities to improve access to finance⁹.</p> <p>Deliverable: Compendium¹⁰ for series of workshops. Completed 4 months after 1st disbursement</p>

⁷ The first readiness proposal focuses on strengthening the role of NDA and its responsibilities at a centralized level. This readiness proposal seeks to empower the role of local authorities in the implementation of climate action through strategic support for their own climate change planning processes. The grant provided by the European Union will serve to develop climate change strategies while this readiness proposal will go one-step ahead and develop project pipelines. The benefit of this proposal is to promote the concept of Intermediate Governments, which enables the effective articulation of the national and local governments in the climate change planning process while supporting the decentralization process in Ecuador.

⁸ CONGOPE is a member of the Interinstitutional Committee on Climate Change (CICC in Spanish) and actively participates in this space. The CONGOPE is a national entity with a primary role, according to its bylaws, to represent the Provincial DAGs in various spaces. CONGOPE will act as representative of 23 governments in the overall decision-making process and implementation of this proposal. However, the 24 DAGs will be directed benefited from this proposal.

⁹ A compendium of capacity building materials will be developed by a group of experts with the support of DAGs and the Steering Committee, which will include key elements on the basics of climate change, access to and efficient use of climate finance, tools for incorporation of climate change in territorial planning and ways of expanding climate resources. The compendium may include among its contents some of the following matters, without prejudice to those identified with the Steering Committee: 1. Introduction to the fundamentals of climate 2. National climate commitments and their relationship with the Global Agenda on Climate Change (UNFCCC and SDGs) 3. Financial Climate Architecture 4. Adaptation and Mitigation Opportunities. 5. Assessment of climate vulnerability in the provinces and the role of local governments. 6. Gender-sensitive approach to climate action. 7. Knowledge and practices of indigenous peoples to address climate change. The project expects to create a climate knowledge platform. All material used at the workshops will be uploaded to the platform which will be of public access. The climate knowledge package will be develop in a way that enables DAGs to use the material and provide capacity building internally at a further stage. The material will be also accessed by the NDA and it can be later used for other capacity building processes as found appropriate.

¹⁰ A compendium will be elaborated as a collection of concise, but detailed information on climate finance knowledge that includes key elements on the basics of climate change, access to and efficient use of climate finance, tools for incorporating climate change into territorial planning and scaling up climate resources.

	1	2	1.2 Organize 24 workshops in all DAGs to provide knowledge on climate change, assess and identify climate change components in the existing local development plans. ¹¹ Deliverable: 24 workshops held in provinces ¹² and 24 summary reports, 5 pages each elaborated ¹³ . Completed 7 month after 2 disbursement
	0	2	1.3 Elaborate short videos of representatives of the DAGs to capture their experience with climate knowledge ¹⁴ and share them with stakeholders ¹⁵ . Deliverables: 24 short videos produced Completed 8 month after 2 nd disbursement
	0	2	1.4 Create an online climate knowledge platform for local governments in Ecuador to disseminate all the products generated throughout the readiness proposal, including information material on mechanisms for accessing and use of climate finance, planning tools to formulate, monitor and evaluate climate projects and

¹¹ A workshop will be organized for representatives in each of the Decentralized Autonomous Governments, using the compendium on climate knowledge to strengthen capacity building on climate related issues. The workshops are directed for public authorities however, if DAGs find it necessary, they will seek to invite key local stakeholders including representatives from civil society, private sector, indigenous peoples, etc. The climate change consultancy group to be hired to support the implementation of some of the readiness activities, including the implementation of the workshop. The climate expert group will be comprised of one expert in Adaptation, Mitigation, Planning and Finance. One of the activities to be held during the workshop will support the assessment of local development plans. The assessment implies the identification of adaptation and mitigation related actions, in addition to co-benefits.

For Adaptation, it will seek activities that reduce vulnerability and increase resilience in areas prioritized in the NDC. The assessment will also identify possible co-benefits that can be later integrated in the design of climate change projects and programs. For mitigation purposes, the exercise will identify areas that help reduce CO2 emissions and that are prioritized in the NDCs. The assessment entails the identification of possible co-benefits that can be later on, integrated into the elaboration of climate change projects and programs.

The workshops seek to enhance long- term capacities by adopting and identifying, from an integrated and systemic point of view, activities that can serve concrete mitigation and adaptation targets, while bringing co-benefits. This is crucial for the elaboration and access of GCF resources as it meets the criteria according to the GCF investment framework. At the workshop, participants will also revise and analyse their existing local development policies, from a climate sensitive approach and identify opportunities to mainstream climate components into their local planning instruments.

¹² The proposal aims to facilitate the effective engagement of local stakeholders, particularly the DAGs. This requires their own space to gain knowledge, plan their engagement, and implementation in the country's Climate agenda and the engagement of relevant local stakeholders and design projects that gain Access to Climate finance. Two workshops will be organized per week.

¹³ Elaborate a summary report with the main outcomes of the workshops held in each DAGs to feed the online climate knowledge platform with key information, highlighting in particular the processes that help designing the right adaptation and mitigation solutions at the local level; the main lessons learned and ways forward to advance NDC commitments from a local standpoint. The climate change consultancy team at the end of every workshop will elaborate summary reports. The summary reports will be shared among participants and uploaded to the climate knowledge online platform.

¹⁴ A communications firm will be hired to produce short videos, capturing the lessons learned, experiences, and knowledge gained by participants at the workshops. The videos will be later streamed at the climate change online knowledge platform.

¹⁵ Videos will capture experiences on how to integrate climate change into local development planning. It will capture best practices and show positive results when implementing climate action. Having a multimedia strategy that captures the experiences of local authorities, in the design of climate solutions is fundamental to buy in the support and engagement of other local stakeholders. Videos have shown to be a very effective tool in providing concrete examples on how to engage key actors in climate strategies. The videos will also highlight concrete cases that have helped local authorities advance their climate and development agenda.

			<p>programs, tools to host meetings, examples of successful climate projects and programs at the local level¹⁶.</p> <p>Deliverable: Climate knowledge online platform¹⁷ created to engage DPAGs, exchange information and obtain tools for management, monitoring and information¹⁸. Completed 11 month after 2 disbursement.</p>
2. Country programmes, including adaptation priorities, developed and continuously updated.	0	2	<p>A pipeline of climate change projects and programs is developed in a participatory manner that improves access to climate finance</p> <p>2.1 Organize 2 expert meetings¹⁹ with the representatives of DAGs and relevant stakeholders to exchange views on climate areas to prioritize, actions to address and potential projects/programs that could be developed into a pipeline; receive input from stakeholders and analyze local development plans as well as other relevant policies to guide the elaboration of the project pipeline²⁰.</p>

¹⁶ The first Readiness proposal aims to provide a concrete capacity building service to enhance knowledge on climate finance and map/identify investments made at the national government. This Readiness proposes the creation of a climate knowledge platform that will serve as a tool for long- term climate planning, implementation, access to information about climate finance, share best practices on how to implement climate action for the exclusive use of local authorities, including a space for internal communications. The platform will be in Spanish. It will be hosted under the CONGOPE website to ensure its effective management and sustainability once the project ends. It will monitor investments made at the DAGs level, not national. The platform will be a first attempt to create an instrument that promotes transparency, communications and monitoring needed to inform decision- making processes, when designing a climate strategy at the local level. The platform will provide complementary information to the website created by the NDA, in which GCF related information would be provided. The platform will be more than an information tool. It will serve as a tool for planning, communication and coordination among and in between local governments. The videos produced under activity 1.3 will be also incorporated in the platform.

¹⁷The communications firm will create the climate knowledge online platform, which is directed and will be mainly used by local governments. The climate knowledge online platform will help local governments to gain tools to access resources needed to support national climate commitments and translate local climate commitments into investment plans and bankable projects. The platform will also contain information on sources available of climate finance as well as requirements that need to be met to access them. In addition, the platform will provide information on successful climate projects and programs under implementation in Latin America.

¹⁸ The platform is a tool that will help Provincial DAG to enhance their capacities, communication and climate related information. It will be aligned with legal instruments such as the Environmental Organic Code and other relevant climate policies in Ecuador. The platform will be part of the activities aligned with CONGOPE's knowledge management strategy, ensuring its continuity beyond the end of the readiness period. The platform will be managed by CONGOPE upon the conclusion of this readiness proposal. CONGOPE has the mission to strengthen capacities of 23 Provincial DAG of Ecuador and position them as promoters of sustainable and economic development in their territories. The platform will be a tool to provide capacity building and support, including internal communication. The platform will also support the monitoring and reporting work of DAGs given that information related to projects, implemented at the local level, will be mapped and reported. The deliverables from this proposal will be shared by the NDA with the GCF knowledge sharing platform to ensure other countries can also learn from the Ecuadorian experience.

¹⁹ The expert meetings will be organized in an inclusive and gender balance manner, seeking the participation of non- government stakeholders, including indigenous peoples.

²⁰ Meetings will be organized in each of the 24 Provincial DAGs (2 meetings per province) with the climate change consultancy group and key stakeholders to review existing climate and development policy and strategies, identify climate priorities per province and potential actions that can be taken, in order to implement policy outcomes. A methodology to define the type of projects that can be part of the pipeline will be elaborated. This methodology will be aligned to the methodology developed by the NDA to select and prioritized project/program proposals to the GCF. This methodology is currently under revision and it is not

			Deliverable: 48 expert meetings with DAGs and 24 project/program pipelines completed 13 month after 3 disbursement ²¹ .
	0	2	2.2 Elaborate a guide to mainstream climate change components into local development plans as well as in tools to monitor and evaluate the impact of projects and programs. Deliverable: Guide document to mainstream climate change components into local development plans as well as in tools to monitor and evaluate the impact of projects and programs ²² . Completed by month 13 after 3 rd disbursement.
3. Monitoring, oversight and streamline activities of climate finance flows are implemented.	0	2	Sources of climate finance are mapped and identified for the DAGs. 3.1 Map the climate change investments made in each of the Provincial DAGs that come from international sources as well as from public sources (own and allocated) and elaborate a brief report with key findings ²³ . Deliverable: brief document on climate investments on finance at the province level completed by month 15 after 3 rd disbursement.
	1	2	3.2 Organize a dialogue with representatives of the participating DAGs and key stakeholders, including the private sector to present findings and evaluate the opportunities to finance identified and

public yet. A pipeline of climate change projects and programs will be created per province and aligned to its Provincial Climate Change Strategies (PCCS). Project ideas including in the different pipelines, will be constantly included in the revised version of the GCF country program to ensure local priorities become part of the national strategies that seek climate finance.

²¹ Each DAG will design its own project pipeline, which will be created, based on a process of enhancing climate knowledge, improving management and monitoring tools to measure climate impacts and design bankable projects ideas that respond to the country's priorities and needs. From the pipelines, four project ideas will be chosen and converted into concept notes. The pipelines will complement the activities chosen by the country work program, ensuring that local governments see their own planning results reflected in this strategic document. The pipelines are not GCF specific. They will support local governments seeking climate finance for their implementation.

²² The guiding document will have two main components: recommendations on how to mainstream climate change components into local development plans and tools to monitor and evaluate the impact of climate projects and programs. The guidelines will be designed in an online format and shared with the entire participant DAGs in USB sticks.

²³ The climate consultancy group will conduct a study that maps the international and national climate investments made in each of the DAG to understand the trend of investments in climate related activities. The GFLAC methodology for MRV in finance could be applicable to conduct this study. A short paper will be elaborated to provide a clear understanding of financial opportunities to implement climate related activities at the local level. The information on the paper will be integrated to the climate knowledge online platform created.

			<p>prioritized projects²⁴ and elaborate a summary report of the dialogue results and upload the information in the online climate knowledge platform²⁵</p> <p>Deliverable: 1 Dialogue held and Digital summary reports for the participants of the dialogue completed by month 16 after 3rd disbursement.</p>
<p>4. Tools to design, monitor and evaluate climate impacts at the local level are develop.</p>	0	2	<p>Representatives of DAGs manage better their climate resources and have the tools to formulate, monitor and evaluate climate change projects and programs that advance their identified climate priorities and needs.</p> <p>4.1 Organize a high-level event for climate finance for local authorities²⁶, followed by a day course for representatives of all DAGs on project and program formulation; strengthening tools to monitor and assess climate impacts on projects and programs, and to take measures to improve the management and use of public and private climate resources.²⁷.</p>

²⁴ A dialogue will be organized in each of the DAGs. Key stakeholders including the private sector will be invited to participate. The dialogues will discuss a) the challenges and barriers for local governments to access climate finance b) present findings on climate investments identified at the local level c) explore synergies with the private sector to engage in climate finance mobilization 'efforts.

²⁵ A summary report for the dialogues held, will be prepared by the climate change consultancy group and shared among participants. The summary reports will be uploaded to the climate knowledge online platform. The first Readiness proposal aims to provide a concrete capacity building service to enhance knowledge on climate finance and map/identify investments made at the national government. This Readiness project proposes the creation of a climate knowledge platform that will serve as an instrument for long term planning and communication, for the use of local authorities. It will monitor investments made at the DAGs level, not national. The platform will be a first attempt to create an instrument that promotes transparency, communications and monitoring, needed to inform decision- making when designing a climate strategy. The platform is incorporated in the activities that enhance the work of provincial governments in the implementation of climate activities.

²⁶ The Interinstitutional Committee on Climate Change (CICC in Spanish) which is the body in charge of articulating climate related policies in Ecuador, will organize this event as part of its working agenda, and through a resolution, the event will count with the political weight needed to articulate, local decision makers and seek their continued engagement. The climate knowledge online platform will be also integrated as part of this event to scale up its use. The event will end with a public statement in a form of a declaration that will reflect commitments made by local authorities that contribute to the climate change agenda of the country.

²⁷ A high-level event for local authorities will be organized in Quito, followed by a day course on climate change formulation of projects and programs, and tools to effective manage climate resources for representatives of all DAGs. The course will bring an expert on GCF and climate finance to teach and provide the tools needed to formulate successful climate projects. The course will also provide information to improve existing tools used to monitor and evaluate climate related impacts. The course will be recorded and uploaded to the climate knowledge online platform. All material provided at the course, would be shared at the platform. 2018 is a year of local elections, which requires commitments by local authorities to secure continuity and engagement in the attainment of the overall outcomes of the readiness proposal. The proposal seeks to bring together and engage the heads of local governments (prefectos) into continuing scaling up efforts to seek and access climate finance, to support the implementation of their project pipelines. The event will also provide information on GCF project design, and discuss opportunities, as well as challenges when accessing climate finance.

			Deliverables: One high level event for local authorities, DPAGs representatives and key stakeholders held in Quito. 48 representatives of DAGs trained to enhance their respective capacities to effectively manage and use climate finance. Completed by month 17 after third disbursement.
5. Country Programme/concept note development including adaptation is advanced.	0	2	Four concept Notes will be developed and presented to the GCF Secretariat for consideration. 5.1 Elaborate 4 concept notes to submit to the GCF for its consideration ^{28, 29} Deliverable 4 concept notes formulated ³⁰ Completed by month 17 after 3 rd disbursement.

²⁸ The readiness proposal includes information on the role of the Steering committee, in charge of deciding the content and focus of the concept notes. Although Fundación Avina participates as a member of the committee, it has no decision making power over the content or focus. Fundación Avina will only develop one of the concept notes. Any further process to develop a full funding proposal will be decided by the NDA, in consultation with key stakeholders, including the selection of the most suitable accredited entity (process currently being developed under the second readiness led by UNDP). The steering committee, set up by this proposal, will be in continuous communication with the CICC.

²⁹ The government of Ecuador has decided to further explore the development of four concept notes on topics that will be decided during the implementation of the readiness project submitted by Fundación Avina. Three consultants will be hired to formulate three of the concept notes. Meetings will be held with the NDA and key stakeholders, to define the content of the proposals. One the proposals will be elaborated by Fundación Avina. The steering committee will assess the various project pipelines and determine which projects are potentially "bankable". Using the criteria elaborated by the NDA to select projects, four project ideas will be chosen and turned into concept notes. The CICC will also review the project ideas selected, to ensure they are in line with the country's climate priorities and needs. This readiness project complements efforts of other readiness projects, as it responds to a process designed specifically for local governments. Congope is part of the CICC.

³⁰ The government of Ecuador nominated Fundación Avina as a Direct Access Entity and as such, Fundación Avina is committed to develop a funding proposal and submitted to the GCF for its consideration. The Government of Ecuador has chosen Fundación Avina to develop one of the concept notes.

SECTION 3: ADDITIONAL INFORMATION

Please explain how this grant will help deliver on the country's readiness needs as identified above and build on institutions, processes or existing work already underway in the country. Please refer to the Guidebook for more specific information on completing this section.

Ecuador has a readiness project under implementation with UNDP that will help define a strategic engagement framework with the Fund, to strengthen the NDA and the country's capacity to implement mitigation and adaptation actions. The proposal above will strengthen the role of the NDA³¹, to build up national capacities and processes, engage different stakeholders in consulting and policy development processes, support access to finance, develop a country work program, and involve the private sector, in climate change related projects and activities.

Readiness support is needed to adopt a coordinated approach to upkeep the adoption of climate change strategies at the local level. In addition, support local governments, to play an active role, in the design and development of climate change strategies, plans, projects and programs, at the local level, is needed, with the view of strengthening country ownership, and contributing to the implementation of the country's NDC.

The Consortium of Autonomous Provincial Governments (CONGOPE) is currently implementing a project, supported by the European Union, that will strengthen Capacities at the local level, and support the generation and implementation of local public policies for adaptation and mitigation of climate change in the 23 Provincial DPAGs that are part of CONGOPE. In order to do so, the project will develop or actualize Provincial Climate Change Strategies (PCCS). The EU project will elaborate strategies that will help define priorities and actions needed in each of the provinces. The readiness project builds on these strategies and helps local governments advance one-step ahead by helping them move from the strategy level to the design of project and programs ideas that can later be financed by institutions like the GCF. This process enables that capacities to access finance by other levels of government are in place and that project ideas become instruments to prioritize climate investments locally.

The EU Projects is currently elaborating diagnosis in 23 provinces that are part of CONGOPE. The project aims, through a participatory process, elaborate the Provincial Strategies on Climate Change by January 2019. A methodology is being develop to elaborate the different strategies. The proposal submitted by Fundación Avina, will enhance an ongoing process happening in Ecuador, by building and strengthening local capacities for effective project design, strengthening tools that measure climate change impacts in projects and programs, and develop a pipeline of climate change projects and programs, aligned to PCCS, that will also contribute to the implementation of the country's NDC. By supporting these concrete set of capacities, the proposal enables access to climate finance and scales up investments for climate related activities. Thus, this proposal will enhance the capacities of local governments to effectively tackle climate change and have the tools to develop successful project and program proposals; strengthen existing tools to monitor and evaluate climate change impacts and create a pipeline of bankable projects and programs.

UNDP will be elaborate the National Adaptation Plan for Ecuador. Within the NAP expected result 1 named "National mandate, guidelines and strategy for the NAP process implementation and for assess and address related gaps", Ecuador aims to integrate climate change adaptation to the development planning at the sectoral,



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territorial and local levels in the country, it's so that through the implementation of the Readiness Support Programme the institutional and technical capacities related to climate change and climate finance will be strengthened in order to facilitate the mainstream of climate change into the local development, furthermore the project will develop a guideline to mainstream climate change components into local development plans as well as in tools to monitor and evaluate the impact of projects and programs.

One of the important activities under this Readiness Support Programme is the organization of a high-level event for climate finance for local authorities. This event is the perfect space to socialize the NAP with the new authorities and to show them their role within the NAP formulation and implementation process. Also, the knowledge platform for local governments in Ecuador is going to be a part of the NAPs communication strategy. Finally, four concept notes will be elaborated through the Readiness Support Programme, these concept notes once approved are going to help to the NAP implementation.

³¹ The UNDP proposal will enhance NDA capacities to build up national capacities and processes, engage different stakeholders in consulting and policy development processes, support access to finance, develop a country work program, and involve the private sector, in climate change related projects and activities. This readiness proposal developed with Fundación Avina will engage both the Ministry of the Environment and Congo throughout the overall implementation and focused on enhancing the role of local governments in the implementation on the National Climate Change targets. The project will ensure that the NDA gains better understanding on how to support and strengthen the role of other levels of government in climate planning and implementation.



**READINESS AND PREPARATORY SUPPORT
PROPOSAL TEMPLATE**

OUTCOMES (same as in section 2)	ACTIVITIES (same as in section 2)	TOTAL COST (per activity)	COST CATEGORIES				EXPENDITURE AND IMPLEMENTATION SCHEDULE (add columns if >24 months)			
			Consultants ³²	Travel	Workshops/ Trainings	Others	6m	12m	18m	24m
1. Country capacity strengthen.	<p><i>Decentralized Autonomous Government`s knowledge on climate change and climate finance will enhanced</i></p> <p>1.1 Design and implement a climate knowledge package for representatives of DAGs comprised of key information to use as guide for capacity building activities to improve access to finance³³.</p>	23,140	23,140 ³⁴				23,140			

³² The consultants hired to implement this proposal, will provide concrete services that will enable capacity building and long-term planning skills among local decision makers. The project will seek to hire local consultants, needed to support the work of the NDA, CONGOPE and local governments. Local consultants will provide know-how, that will be transmitted to the beneficiaries, and reflected in the different products that will come out from this project. Most consultants will be hired locally, with the exception of the regional climate finance expert. The Strategic Advisor, the climate consultants and the communications firm will be hired locally. A regional climate finance expert will be hired from abroad (regional consultant from Latin America) to provide specific support for the climate project design course only. Each consultancy delivers specific products that will be used to strengthen local capacities; the products will be property of CONGOPE and the NDA for future use. Below are the cost related to this activity:

³³ A compendium of capacity building material will be designed by a group of experts, containing key features on climate change basics, access and effective use of climate finance and ways to scale up climate resources. The compendium will be used to provide capacity-building support, for local authorities that seek to further engage themselves in long-term climate planning. The compendium will include among its content, the following matters: 1. Introduction to climate fundamentals 2. National climate commitments (NDCs) and its relationship to the Climate Change Global Agenda (UNFCCC and SDGs) 3. Climate Finance Architecture 4. Adaptation and Mitigation opportunities. 5. Climate vulnerability assessment in provinces and the role of local governments. 6. Gender sensitive approach in climate action. 7. Indigenous peoples' knowledge and practices to tackle climate change

³⁴ Costs reflect hours of the Climate change consultation team and the strategic advisor. The cost are calculated based on costs provided by the NDA. The prices are set in such manner because consultants will be paid for providing specific services and products, and not just their time, invested in the implementation of the project. Payment will be conditioned to the delivery and satisfaction of the products and services for which consultants will be hired for. Please see detailed costs in the excel document attached.



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	Deliverable: Compendium for series of workshops. Completed 4months after 1 st disbursement									
	1.2 Organize 24 workshops in the selected DAGs to provide knowledge on climate change y assess and identify climate change components in the existing local development plans. Deliverable: 24workshops held in provinces and 24 summary reports, 5 pages each elaborated Completed 7 month after 2 disbursement	168,851³⁵	61,835		105,096 ³⁶	1,920³⁷	168,851			
	1.3 Elaborate short videos of representatives of the DAGs to capture their experience with climate knowledge ³⁸ and share them with stakeholders. Deliverables: 24 short videos produced Completed 8 month after 2 disbursement	14,326³⁹	10,755		3,571 ⁴⁰		14,326			
	1.4 Create an online climate knowledge platform for local governments in Ecuador to disseminate all the products	19,320	19320				19,320			

³⁵ Cost reflect time and travel needed for the Climate consultation team and the strategic advisor to hold the 24 workshops, including costs for travel, participation and logistics for all workshops, and material.

³⁶ 4 Workshops including room rental, coffee break and food for 2 days for 26 people. Six Trips for climate change consultant team, the strategic advisor and the project coordinator/administrator to participate in all workshops in 23 DAG (Cost include transportation by road, food and hotel). Six trips for the organization of the workshop in Galapagos are also included. 4 for the climate change consultant team, 1 for the strategic advisor and 1 the project coordinator.

³⁷ This cost related to the material provided at each of the 24 workshops that will be organized. The cost per material (folder with documents) is estimated at four USD per piece. 20 pieces will be provided per workshop, which gives 480 pieces for all workshops.

³⁸ A communications firm will hired to produce short videos, capturing the lessons learned, experience and knowledge gained by participants at the workshops. The videos will be later streamed at the climate knowledge online platform.

³⁹ Costs include a day in each of the workshops (24) to elaborate the short videos, including travel costs for the 24 workshops.

⁴⁰ The cost include 24 trips for the communication consultant to attend the workshops and elaborate the videos in 23 provinces and Galapagos (this includes transport by road, food and hotel)



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	<p>generated throughout the readiness proposal, including information material on mechanisms for accessing and use of climate finance, planning tools to formulate, monitor and evaluate climate projects and programs, tools to host meetings, examples of successful climate projects and programs at the local level.</p> <p>Deliverable: Climate knowledge online platform⁴¹ created to engage DAGs, exchange information and obtain tools for management and information. Completed 11 month after the 2nd disbursement</p>								
<p>2. Country programmes, including adaptation</p>	<p><i>A pipeline of climate change projects and programs is developed in a participatory manner that improves access to climate finance</i></p> <p>2.1 Organize 2 expert meetings with the representatives of DAGs and relevant stakeholders to exchange views on climate areas to prioritize, actions to address and potential projects/programs that could be developed into a pipeline; receive input from stakeholders and analyze local development</p>	<p>54,770⁴⁴</p>	<p>38,126</p>	<p>14244</p>		<p>2400</p>	<p>54,770</p>		

⁴¹The communications firm will design the online climate knowledge platform. The online climate knowledge platform to help local government's access resources needed to support local climate commitments and translate local climate commitments into investment plans and bankable projects. The platform will also contain information on sources available of climate finance, as well as requirements that need to be met in order to access them. In addition, the platform will provide information on successful climate projects and programs under implementation in Latin America and will be a key tool to monitor the implementation of climate related projects at the local level

⁴⁴ Costs include time dedicated by the climate change consultant team and the strategic advisor to travel to 24 municipalities to host two haft day expert meetings, including travel expenses.

	plans as well as other relevant policies to guide the elaboration of the project pipeline ^{42 43} . Deliverable: 48 expert meetings with DAGs and 24 project/program pipelines completed 13 month after 3 disbursement.								
	2.2 Elaborate a guide to mainstream climate change components into local development plans as well as in tools to monitor and evaluate the impact of projects and programs. ⁴⁵ . Deliverable: A document with guide to mainstream climate change components into local development plans as well as in tools to monitor and evaluate the impact of projects and programs. Completed by month 13 after 3 disbursement	30,326 ⁴⁶	28326			2000		30,326	
3. Monitoring, oversight and streamline activities of	Sources of climate finance are mapped and identified for the DAGs.	17,402 ⁴⁹	17,402						17,402

⁴² Project pipelines will not be GCF exclusive. They will serve to identify and select climate change local priorities and needs. Having develop a project pipeline allows local governments to identify and seek other potential sources of funding. This is valuable now of seeking co- financing options for the GCF concept notes that will be develop. The project pipelines will be used to select four project ideas that will be worked into concept notes. The steering committee will do a strategic assessment to determine which proposals have potential “bankable elements” to be turned into concept notes. Once project ideas are selected for concept notes, they will require additional no -objection from the NDA.

⁴³ Meetings will be organized in each of the 24 DAGs (2 meetings per **province**) with the climate change consultancy group and key stakeholders, to review existing climate and development policy and strategies, identify climate priorities per province and potential actions that can be taken to implement policy outcomes. A methodology to define the type of projects, that can be part of the pipeline, will be elaborated. A pipeline of climate change projects and programs will be created per province.

⁴⁵ Recommendations will be elaborated after the meetings with concrete suggestions on strengthening climate components into existing tools used to monitor and evaluate the impact of projects and programs. The document will be uploaded to the climate knowledge online platform.

⁴⁶ Costs include time invested in total by the climate consultant team, the strategic advisor and the designer to elaborate the guides to mainstream climate change into local development plans.

⁴⁹ Costs include time invested by climate consultation team to elaborate the brief document.

<i>climate finance flows are implemented.</i>	3.1 Assess the climate change investments made in each of the DAGs that come from international sources as well as from public sources and elaborate a brief report with key findings. Deliverable: brief document on climate investments on finance at the province level ⁴⁷ ⁴⁸ completed by month 15 after 3 disbursement								
	3.2 Organize a dialogue with representatives of the participating DAGs and key stakeholders, including the private sector to present findings and evaluate the opportunities to finance identified and prioritized projects ⁵⁰ . Deliverable: 1 Dialogue held and Digital summary reports for the participants of the dialogue completed by month 16 after 3 disbursement	28,554 ⁵¹	22,004		6550			28,554	
4. Tools to design, monitor and evaluate climate impacts at the local level are develop.	Representatives of DAGs have the tools to formulate climate change projects and programs that advance their identified climate priorities and needs. 4.1 Organize a climate finance high level event for local authorities followed by a day course	54889 ⁵⁴	25,524		29,365			54889	

⁴⁷ The readiness proposal prepared by UNDP will focus on mapping and tracking climate finance at the national level. This proposal is focused on mapping local investments at the local level. Due to the autonomy that DAGs have, they have their own financial system in place, which is information that is not necessarily available at the national level (finance ministry).

⁴⁸ The first readiness led by UNDP will map climate flows using the CPEIR (methodology). The current proposal does not attempt to use the CPEIR methodology, neither be a mapping exercise. The activity attempts to identify existing investments made at the local level to later on develop a financial strategy that scales up local investments.

⁵⁰ The event will invite private sector representatives that have concrete interest in investing in the project pipelines designed for local governments

⁵¹ Cost include time invested by the strategic advisor, the climate consultation team to hold and participate in a dialogue in Quito, travel costs for participants (2 representatives per DAGs) to Quito and the organization of the dialogue for 80 people.

⁵⁴ Cost include time invested by the strategic advisor to organize a high-level event. Time by the Climate consultant to hold the Climate finance event. Cost to bring local authorities and representatives of DAGs to the event and the course on Climate Project design.

	<p>on project/program formulation⁵²; strengthening of tools to monitor and evaluate climate impacts in projects and programs and to adopt measures to enhance the management and use of climate resources for representatives of all DAGs⁵³.</p> <p>Deliverables: One high level event for local authorities, DAGs representatives and key stakeholders held in Quito. 48 representatives of DPAGs trained to enhance their respective capacities to effectively manage and use climate finance. Completed by month 17 after third disbursement</p>									
5.Country Programme/concept note development including adaptation is advanced.	<p>Four concept Notes will be develop and presented to the GCF Secretariat for consideration.</p> <p>5.1 Elaborate 4 concept notes⁵⁵</p> <p>Deliverable 4 concept notes formulated Completed by month 17 after 3rd disbursement.</p>	46,644 ⁵⁶	46,644						46,644	
SUBTOTAL ACTIVITIES		458,222	293,076	14,244	144,582	6,320	225,637	85,096	147,489	
CONTINGENCY (UP TO 5%)		22,911								

⁵² The pipeline is not GCF exclusive.

⁵³ A high-level event for local authorities will be organized in Quito, followed by a day course on climate change formulation projects and programs, tools to effectively manage climate resources for representatives of all DAGs. The course will bring an expert on GCF and climate finance to teach and provide the tools needed to formulate successful climate projects. The course will also provide information to improve existing tools used to monitor and evaluate climate related impacts. The course will be recorded and uploaded into the climate knowledge online platform. All material provided at the course, would be shared at the platform.

⁵⁵ Fundación Avina will seek ongoing collaboration and engagement to ensure complementary with UNDP during the implementation of the readiness proposals. The Concept notes will provide diversity in opportunities to advance climate finance. More importantly, they will provide an opportunity for local governments to support their climate change priorities and needs.

⁵⁶ Time invested by 4 consultants dedicated to elaborate four concept notes for GCF consideration and the time of the strategic advisor in revising in supplementing information to the concept notes to ensure they are in line with what is requested to the GCF.



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PROYECT MANAGEMENT COSTS (UP TO 7.5%)⁵⁷		34,550								
DELIVERY PARTER FEE (8.5% OF TOTAL ACTIVITIES) ⁵⁸		43,833								
TOTAL		559,516								

4.2. Procurement Plan

For goods, services, and consultancies to be procured, please list the items, descriptions in relation to the activities in section 2, estimated cost, procurement method, relevant threshold, and the estimated dates. Please include the procurement plan for at least the first tranche of disbursement requested below. Also, please feel free to replicate this table on Excel spreadsheet if needed.

ITEM	ITEM DESCRIPTION	ESTIMATE D COST (US \$)	PROCUREMENT METHOD	THRESHOLDS <i>(Min-Max monetary value for which indicated procurement method must be used)</i>	ESTIMATED START DATE	PROJECTED CONTRACTING DATE
Goods and Non-Consulting Services						
Travel from provinces to Quito	Trips include costs of travel, transportation, food and lodging. The description	24,515	Direct purchase	Up to 3000	Months 3, 4, 5,6, 16	Months 4, 5, 6, 7, 17

⁵⁷ The PMC is calculated at 7.5% of the total project cost. The project will hire a part time Project administrator at a rate of 1100 USD per month to oversee the overall administrative and logistic implementation of the project. The PMCs include costs quoted for two external audits at a cost of 4000 USD each year; a part time Project administrator and dedicated hours to provide in house financial assistance at a total cost of 6750 USD (375 USD a month allocated each month for 18 months) to ensure budget is spent and recorded accordingly.

⁵⁸ Delivery partner fee (8.5%): Fundación Avina has calculated its overhead costs at 20% of the organization's overall budget. These costs include wages and benefits for accountants, IT technicians, legal advisors, human resources services, senior staff, and any other personnel that are not directly related to the implementation of a specific project, but are indeed essential to maintaining a functional organization.

	of number of trips accordingly: 3.2 Requires: 1 trip for 24 people; 4.1 1 trip for 69 people					
Travel for climate change consultant team, the strategic advisor, the project coordinator/administrator and the communication consultant (7 people) to municipalities	Trips include costs of travel, transportation, food and lodging. The description of number of trips accordingly: 1.2 Requires 24 trips for 6 people; 1.3 Requires 24 trips for 1 person; 2.1 Requires 24 trips for 4 people	60,511	Direct purchase	Up to 3000	Months 3,4, 5, 6 Months 4,5,6,7 months 11,12	<i>Months, 4,5,6,7 Months, 5,6,7,8 Months 12,13</i>
Venues for workshops in Quito	Meetings include cost of renting room, food and coffee snacks for participants: 3.2 Requires 1 meeting for 50 people; 4.1 1 meeting for 80 people; 4.1 a day course for 48 people	8,900	Direct Contract	Up to 5000	<i>Months 13,14,15,16</i>	<i>Months 14,15,16,17</i>
Venues for workshops in provinces	Meetings include cost of renting room, food and coffee snacks and materials for participants: 1.2 Requires 24 meetings for 26 people; 2.1 Requires 24 meetings for 100 people per meeting	66.720	Direct Contract	Up to 5000	<i>Months 3,4,5,6,11,12</i>	<i>Months 4,5,6,7,12,13</i>
travel expenses for GCF expert consultant to Quito	Travel expenses include: flight ticket, hotel for 2 nights in Quito, food, transportation and lodging Activity 4.1	2,500	Direct purchase	Up to 3000	<i>Month 16</i>	<i>Month 17</i>



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External Audit Firm	Two external financial audits quotations range within a rate of 4.000 USD per auditing service and, as required by GCF, we will have one at the end of the project	8,000	Best Quality and cost selection *	5000 and above	<i>Months 12,18</i>	<i>Months 13,19</i>
Guidelines converted into USBs for DPAG	USBs for the guidelines	2,000	Direct purchase	Up to 3000	<i>Month 11</i>	<i>Month 12</i>
SUB-TOTAL (US \$)		173.146				
Consultancy Services						
Climate change consultant team	Climate change consultant team (4 people) will be hired to undertake activities 1.1, 1.2, 2.1, 2.2, 3.1, 3.2, 4.1	156,160	Best Quality and cost selection*	5000 and above	<i>Months 3,4,5,6,11,12,13,14,15,16</i>	<i>Months 4,5,6,7,12,13,14,15,16,17</i>
Communications consultant	Communications consultant to elaborate videos of participants in workshops and create platform for knowledge and sharing to activities 1.3, 1.4	29,320	Best Quality and Selection*	5000 and above	<i>Months 3,4,5,6,7</i>	<i>Months 4,5,6,7,8</i>
Project Administrator	A project administrator is required to oversee and provide administrative/logistic support for the overall implementation and development of readiness proposal.	19,800	Best Quality and Selection	5000 and above	<i>Month 1</i>	<i>Month 1</i>



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Climate Change Consultants	3 climate change experts will be hired to elaborate three concept notes each. Activity 5	30,000	Best Quality and Selection*	5000 and above	Month 15	Month 16
Consultant Concept Note	A consultant from Fundación Avina will be hired to elaborate 1 of the concept notes. Activity 5	10,000	Sole consulting	5000 and above	Month 15	Month 16
Designer for the guidelines	Designer for guidelines will be hired to undertake activity 2.2	3,000	Direct Contract	Up to 5000	Months 11,12	Months 12,13
Climate finance expert consultant from Fundación Avina ⁵⁹	An expert on climate finance mechanisms and GCF will be hired to prepare and conduct the day course on formulation on climate finance, best practices to better manage and use climate funding.	4,800	Direct Contract	Up to 5000	Month 16	Month 17
Strategic advisor	A strategic Advisor ⁶⁰ will be hired for 396 hours in total to support the	59,796		5000 and above	Month 1	Month 1

⁵⁹ Fundación Avina is a Direct Access Entity operating in Ecuador. As such, we are offering in-house services to implement one specific activity of our expertise. The activity is beyond the overall project management and implementation. Thus, it is reflected in the procurement given that a contract for the delivery of that activity will be elaborated to ensure accountability and transparency.

⁶⁰ The role of Strategic Advisor is different from the role of the Project Administrator given that this position will support the execution of specific and strategic activities, including the design of content of workshops and the high-level event. The strategic advisor will accompany activities and provide strategic support to ensure its effectiveness particularly at the decision-making process needed to implement activities. The role of project administrator will be dedicated to administrative and logistic support required for the implementation of this project.



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	<p>implementation of activities that require strategic support including the design and content of capacity building exercises and expert meetings. The strategic advisor has the following tasks:</p> <p>A1.1. Design and implement a climate knowledge package for representatives of DAGs comprised of key information to use as guide for capacity building activities to improve access to finance.</p> <p>1.2 Organize the content of 24 workshops in the selected DAGs to provide knowledge on climate change y assess and identify climate change components in the existing local development plans.</p> <p>2.1 Organize 2 expert meetings with the representatives of DAGs and relevant stakeholders to exchange views on climate areas to prioritize, actions to address and potential projects/programs that could be developed into a pipeline; receive input from stakeholders and analyse local development plans as well as other relevant policies to guide the elaboration of the project pipeline.</p> <p>2.2 Support the incorporation of a climate change approach in the design and use of tools for monitoring and evaluating the impacts of programs and</p>		<p style="text-align: center;">Best Quality and cost selection*</p>			
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	<p>projects at the provincial level in the training of climate change projects.</p> <p>3.2 Organize and elaborate the content of the dialogue with representatives of the participating DAGs and key stakeholders, including the private sector to present findings and evaluate the opportunities to finance identified and prioritized projects</p> <p>4.2 Organize a climate finance high level event for local authorities followed by a day course on project/program formulation; strengthening of tools to monitor and evaluate climate impacts in projects and programs and to adopt measures to enhance the management and use of climate resources for representatives of all DAGs.</p> <p>5. Review the content of the concept notes.</p>					
SUB-TOTAL (US \$)		312,876				
TOTAL COST (US \$)		486.022				

Reference costs

SERVICES	USD
Consultancy Services	Cost Refer- ence in USD per day (paid by



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	completed result/product)
Strategic advisor (local consultant) per day	151
Climate change consultant team (4 local consultants: One expert on Adaptation, Mitigation, Planning and Climate Finance) at a cost of 160 USD per consultant, per day	640 (4 people)
International Financial Mechanisms expert consultant (Regional consultant)	400 (8 hours at 50 USD per hour)

Consultancy Services	Cost refer- ence per month
Project Administrator (local consultant) part time for 18 months.	1100 ⁶¹
Financial assistance to oversee the expenses of the project implementation for 18 months	375 USD (per month)
Consultancy Services	Cost Refer- ence per product
Online platform	7800
Elaboration of each Concept notes. Cost per concept note	10000
Communications firm to elaborate platform.	10000
External Financial Audit	4000
500 USB for guidelines	2000

Non- Consultancy Services	Cost per package

⁶¹ The rate is the cost per month of service provided as it is contemplated that the project administrator will provide his or her services part- time throughout the duration of the project. The project administrator will be expected to work 3 days a week from the premises of the Ministry of Environment. The salary offered is competitive and was budgeted in line with costs provided in other readiness proposals elaborated by Fundación Avina (Paraguay and Argentina). The budget is also similar to costs provided in the Readiness Proposal approved to be implemented by UNDP in Ecuador.



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Travel cost: transportation, lodging and food per person per day travel to province (50+40+30)	120
Rental Room, food, and snacks for 2 day workshops for 26 people in provinces	50
Travel costs: transportation, lodging, food and per diem per person per day travel to Quito from provinces (48 people) (100+45+50)	195
Travel costs: transportation, lodging, food and per diem per person per day travel to Galapagos (350+360+75)	785
taxes to enter Galapagos per person	26
Rental Room, food, and snacks for a day workshops for 80 people in Quito	80
Folders with material for workshop. Price per unit	4
Snacks and coffee for meetings in provinces cost per person	10
Travel cost GCF expert consultant flight, hotel, food and transportation	2000

4.3. Disbursement schedule

Specify the proposed schedule for requesting disbursements from the GCF, including amounts and periodicity. For amounts requested, keep to multiples of USD 5,000, and for periodicity, specify whether it is quarterly, bi-annually or annually only. Activities under this readiness proposal will be implemented over an 18-month period, beginning in January 2019 and running through June 2020. Ecuador's NDA requests a total of USD 559,516 and proposes disbursements be made to Fundación AVINA as Delivery Partner in three tranches, corresponding to 46%, 45% and 9% of the project, considering the following amounts:

Disbursement schedule	USD	%	Period
1 st disbursement	260,000	46	1Q/Y1
2 nd disbursement	250,000	45	2Q/Y1
3 rd disbursement	49,516	9	1Q/Y2.
Total amount	559,516	100%	

The first disbursement, which amounts to USD 260,000 will be made upon effectiveness of the Grant Agreement and upon fulfilment of the disbursement conditions specified in the Grant Agreement and Standard Conditions.

The second disbursement of USD 250,000 will be transferred upon submission of an interim progress report and upon fulfilment of the disbursement conditions specified in the Grant Agreement and Standard Conditions.

The third disbursement of USD 49,516 will be transferred upon submission of a project completion report and the Audit Report. Submission of a completion and audit report will be furnished no later than three (3) months after the completion of the Readiness Support

1st audit report will be furnished no later than three (3) months after the completion of twelve months implementation period.

Fundación Avina is interested in negotiating a readiness framework agreement with the GCF. We are currently discussing this process with the Secretariat. Therefore, disbursement will be reviewed once the legal agreements are finalized.

4.4. Additional information

This box provides an opportunity to include further explanations related to the budget, procurement plan and disbursement schedule, including any details on the assumptions to justify costs presented in the budget.

Budget

a) Salary references and consultancy fees

The following table details the different categories of consultants and their associated salary:

SERVICES	USD
Consultancy Services	Cost Refer- ence per day
Strategic advisor (local consultant)	151
Climate change consultant team (4 local consultants: One expert on Adaptation, Mitigation, Planning and Climate Finance) The cost per consultant is 160 USD per day. The cost for the team is 640 USD	640

International financial mechanisms expert consultant (Regional consultant)	400 (average 8 hours a day calculated at at cost of 50 USD per hour)
Consultancy Services	
Project Administrator (local consultant)	1100 (3 days a week)
Financial assistance to oversee the expenses of project implementation	375
Consultancy Services	
Online platform	7800
Communications firm (local consultant)	10000
Elaboration of each Concept notes	10000
500 USB for guidelines	2000
External Financial Audit	4000
Non- Consultancy Services	
Travel cost: transportation, lodging and food per person per day travel to province	120
Rental Room, food, and snacks for 2 day workshops for 26 people in provinces	50
Travel costs: transportation, lodging, food and per diem per person per day travel to Quito from provinces (48 people)	195
Travel costs: transportation, lodging, food and per diem per person per day travel to Galapagos	785
taxes to enter Galapagos	26
Rental Room, food, and snacks for a day workshops for 80 people in Quito	80
Folders with material for workshop. Price per unit	4
Snacks and coffee for meetings in provinces cost per person	10
Travel cost GCF expert consultant flight, hotel, food and transportation	2000
B) Notes on budget	

An excel document is attached to this proposal, including a break down budget with units and value per unit used to reach the final values presented in the budget section. Additional useful information follows below:

- The delivery partner fee corresponds to 8.5% of activities. Fundación Avina has calculated its overhead costs at 20% of the organization's overall budget. These costs include wages and benefits for accountants, IT technicians, legal advisors, human resources services, senior staff, and any other personnel that are not directly related to the implementation of a specific project, but are indeed essential to maintaining a functional organization.

- Project Management costs consists of the following costs: 1) One Part-time Project Administrator: hired for 18 months starting in month 1 at a monthly rate of 1.100 USD. The consultant will work in direct coordination with the steering committee (CONGOPE, MAE and Fundación Avina) coordinate administrative, logistic and implementation related activities expected for this project. The Steering Committee will act as the supervisor of the project coordinator. MAE will ensure that the project is aligned to the national policy of climate change and country priorities. Fundación Avina will ensure the effective implementation and the respect to principles of gender balance; paradigm shift and country ownership throughout the whole project and CONGOPE will facilitate the work with Provincial DAGs and articulate the outcomes of this project to PCCS. The role of the Project Administrator is essential to ensure effective and integrated completion of all activities, promoting learning among activities and the various consultants hired. It requires a qualified professional to perform the following tasks: daily communications with all stakeholders of the project, following up of all activities, ensuring timely delivery, monitoring results and risks, revising, and giving technical inputs on all deliverables of the project. This consultant will be based in Quito. It must be available to work flexibly and be able to travel to provinces (this requirement is contained in the Terms of Reference). The consultant should work when possible from the offices of the Ministry of Environment. He or she must hold a University degree and expertise in climate policy and project management. – 2) Two external financial audits: quotations range within a rate of 4.000 USD per auditing service and, as required by GCF, we will have one at the end of the fiscal year and the final one at the end of the project. 3) Financial assistance to oversee the expenses of the project implementation for a total cost of 6750 USD (375 USD per month)

- Contingency costs was estimated at the maximum rate of 5%, considering that this project entails a variety of activities at the local level for provinces that are not yet determined. It is therefore reasonable to expect that unforeseen activities and/or meetings might be needed to design the climate change plans.

- In order to lead delivery each of the outcomes A01, A02, A03 the project will hire a team of 4 climate change expert consultants to implement the activities described in the proposal. A Strategic advisor will also support the implementation of Activities A01, A02, A03, A04 and A05. He or she will guide the work of the consultant team. The strategic advisor role is required to support the implementation of activities that require planning, organization and implementation of expert meetings, including capacity-building exercises to secure the successful implementation of all activities. The support of a strategic advisor will be specific to needed activities only.

For activities A04. The strategic advisor based in Quito will lead the organization of the high-level event for Local Authorities and capacity building day course for representatives of DAGs in Quito. 3 guest speakers will be invited to participate in the event and share their experience on climate finance and lessons learned for effective allocation and use. For the day course directed to DAGs representatives, an in house GCF expert will be invited to provide the capacity building day course on project formulation and improve of methodologies that strengthen capacities in resource management and effective use of resources to enable the achievement of climate results. For Activities A05 related to the formulation of four concept notes, three climate change consultants will be hired to elaborate three of the concept notes. Fundación Avina will elaborate one concept note. The topics⁶² will be chosen based on decisions taken by the steering committee.

- In support to the work of these consultants and responding to the complexity that entails to implement successful activities at the local level, the readiness proposal contemplates to hire a Strategic advisor to secure the successful implementation of activities A1, A2, A3, A4 and A5.

-The proposal includes the development 4 concept notes. 1 of the concept notes will be develop directly by Fundación Avina. The other concept notes will require to hire consultants specialized in the topic chosen.

- Costs for travelling per person per day. The readiness proposal requires a number of trips to selected provinces for the consultants that will provide services to carry out activities. The costs for that matter are estimated per person per day and include hotel, transportation and food. The cost might vary until provinces are selected.

⁶² The topics will be chosen once the project pipelines at the local level, are develop.

-Costs per meeting/workshop held. The readiness proposal contemplates the organization of a number of meetings in the 24 provinces where the project will be implemented. The costs are estimated per person, per day and include venue rental, material, and food and sound systems.

C) Procurement plan

Each procurement method presented at the procurement plan is subjected to the following criteria, according to the procurement procedures established by Fundación Avina:

Direct purchase: Purchase order may not be required, but accepted. Online shopping is mostly applied through this procurement method, which may not exceed US\$3.000 per purchase. Order confirmation is mostly the supporting document.

Direct contract: The signature of a contract is required when requesting services under this procurement method such as hotel meeting rooms and facilities for an event. Each contract must not exceed US\$5.000

Best Quality and cost selection: This procedure applies to services and consultancies of US\$ 5000 and above as stipulated in Avina's General Purchasing Police. Besides such requirement, consultancies of US\$50.000 and above will also be subject to the requirements included in the Grant Management Policy concerning the number of milestones (products) and the disbursement schedule, which should be related to the amount of the investment and the duration of the project. In this case, at least 3 disbursements will be scheduled, as follows: 20% signature of the contract, 40% progress as scheduled, 40% total satisfaction of final products.

Use of Contingency Resources

Pre-approval will be taken from the fund before committing any resources from Contingency budget.

SECTION 5: IMPLEMENTATION ARRANGEMENTS AND OTHER INFORMATION

5.1. Please attach an “implementation map” or describe how funds will be managed by the NDA/FP or delivery partner

If the entity implementing the readiness support is not an accredited entity of the GCF, please complete the [Financial Management Capacity Assessment \(FMCA\)](#) questionnaire and submit it with this proposal.

Fundación Avina in its role of accredited entity will operate as **delivery partner**, being responsible for the overall management and implementation of the activities under this readiness proposal, including organization of activities, elaboration of terms of reference for consultancies, elaboration of contracts, and monitoring and technical supervision of products and direct implementation of certain activities under the readiness program.

Fundación Avina will ensure that all objectives are met and outcomes delivered in a timely and technically sound manner, guaranteeing performance on gender balance, transparency principles, incorporation of purposes of paradigm shift and full country ownership. It will also administer funds and ensure resources are executed according to GCF policies and are allocated in an appropriate and effective manner.

The Ministry of Environment as the National Designated Authority and CONGOPE will supervise all activities and outcomes, selecting consultants to be hired, supervising directly the project administrator, proposing and approving the calendar of activities and stakeholders to participate in the activities, ensuring the complementarity with other climate actions, and approving the outcomes.

A steering committee will be formed to make decisions needed for the implementation of the readiness proposal. For example, decisions related to the content of the capacity building activities, the stakeholders invited to participate in key meetings, etc. The steering committee will include representatives from the Ministry of Environment, CONGOPE, the Strategic Advisor and Fundación Avina.

The steering committee will also have the faculty to invite to its sessions to different stakeholders government and non-government (private sector, civil society, indigenous peoples, and women’s groups) to participate in the committee meetings to contribute to the decision-making processes relevant to the implementation of this readiness proposal. Fundación Avina will be in charge of the Secretariat role.

For the monitoring and evaluation, the steering committee is in charge of taking key decisions related to the implementation of this proposal. This body will provide overall monitoring and impact of the proposal and it will take decisions in case of a possible change in the implementation.

The steering committee will be also responsible to develop a contingency plan to assess and managed possible risks associated with the implementation of this proposal. Risks will be identified, their category, being these low, medium or high and their response measures. This risk plan will be develop during the first month of the readiness implementation.

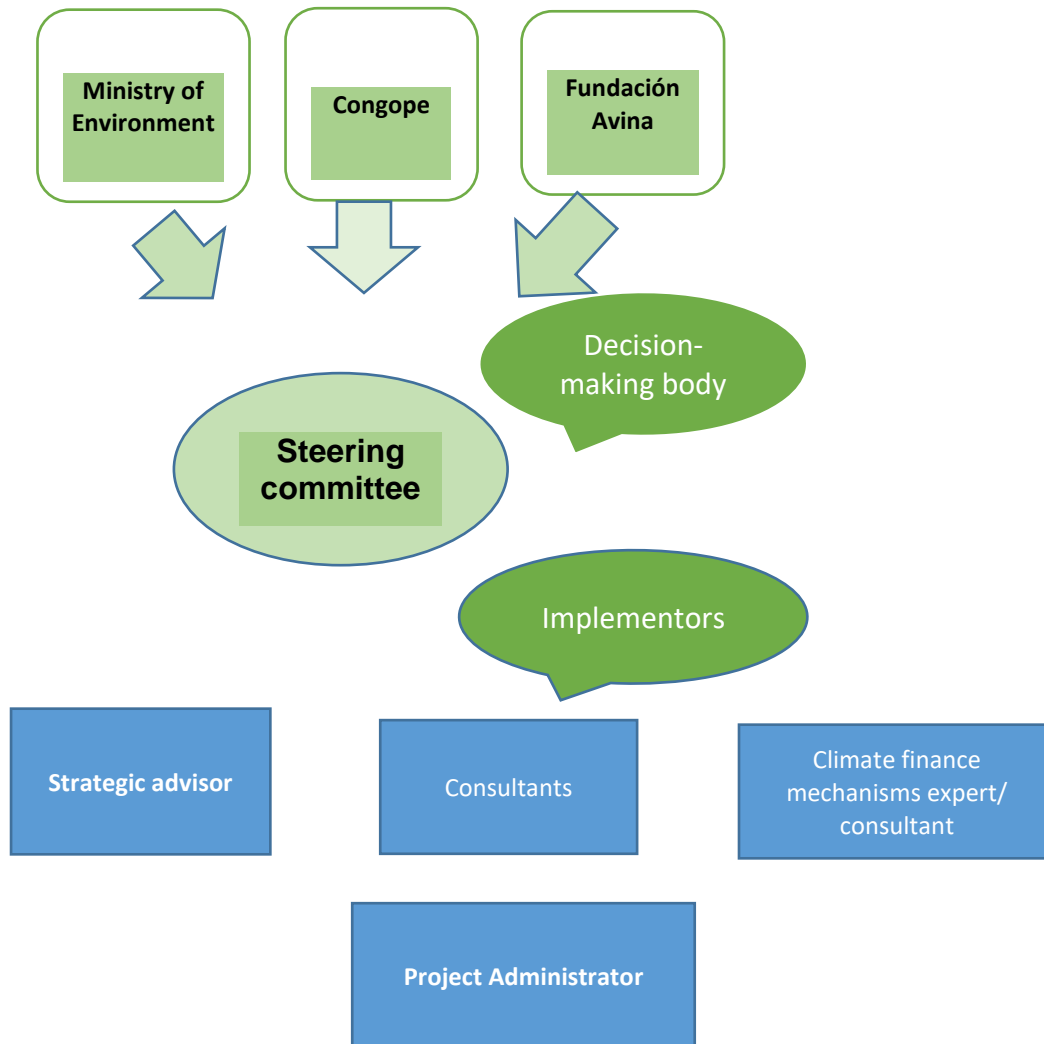
Contingency Plan

Below are described potential risks that might prevent the project objectives from being achieved and the proposed measures that address these risks during project implementation:

Risk	Rating	Mitigation
Involvement Risk: Lack of interest by the public and private sector key stakeholders, resulting in limited interest of local players to scale up the results of this intervention	Low	The project will be coordinated with the participation of local governments through their representative CONGOPE which will ensure that participation of key stakeholders during project implementation

<p>Technical Risk: Lack of capacity by the national counterparts to use or implement the results and conclusions of this technical assistance</p>	<p>Low</p>	<p>The CONGOPE will manage the coordination, communication, monitoring and reporting platform, created under this proposal to ensure capacity is enable throughout the time</p>
<p>Management Risk: Lack of effective coordination between CONGOPE and the Ministry of Environment</p>	<p>Low</p>	<p>The NDA will work closely together with CONGOPE to ensure the correct implementation and coordination of actions under this proposal</p>
<p>Gender risk: Resistance against or lack of interest in, the project activities from stakeholders, especially with regard to the active promotion of gender equality. Low participation rates of suitable female candidates due to lack of interest,</p>	<p>Low</p>	<p>This Project will pursue thorough, gender responsive integration, and ensure stakeholder involvement at all levels, with special regard to involving women and men.</p>
<p>Political Risk: new authorities will be selected in march 2019, including changes in the technical teams at the province level while the project implementation takes place</p>	<p>Medium</p>	<p>The project will work with exiting government representatives and those that are taking over to ensure effective coordination.</p> <p>For upcoming authorities the project will promote alignment between projects and permanent planning instruments, At the articulation spaces, DAGs will be encourage complying with their prioritized climate agenda. At the national level, provincial proposals will be also articulated with the Country Work Program and NDC targets.</p> <p>The Project will also hold direct dialogues with new authorities to formalize their commitments to this process.</p> <p>For the capacity building workshops, the Project will seek to generate materials that can be easily replicated for the internal use of DAGs, to ensure new personal benefit from those processes.</p>
<p>Information risk: Advances, results and products from this projects are not accessible to all interested parties</p>	<p>Low</p>	<p>The project will create a climate knowledge platform for the DAGs that will help them inform, communicate, share, monitor, report</p>

See below the implementation map:



5.2. Other relevant information

This box provides an opportunity to include any important information you wish to bring to the attention of the GCF Secretariat, but did not have an opportunity to provide in the sections above.

The Consortium of Autonomous Provincial Governments (Congope) mission is to position the Provincial Decentralized Autonomous Governments as a promoter of socioeconomic development and sustainable development in the territories. In their role of intermediate governments, they promote the strengthening autonomy, decentralization and the promotion of cooperation networks; as well as the articulation of territorial, national and international actors. Among their roles is to support activities that strengthen capacities and skills, through the generation of innovative programs and projects, consultancy, training and technical assistance.

CONGOPE will participate in the overall implementation of the project through its participation in the steering committee and as executor.

For detailed information about the workshops and high level events to be organized, please review the detailed budget information provided in the excel document.

To avoid any possible conflicts of interest deriving from the delivery partner's role as an accredited entity, the prioritization of investments and projects in the context of this readiness grant will be made through a broad consultation process with relevant stakeholders, including other potential implementing and accredited entities for Ecuador. The final validation of these priorities and selection of the Accredited Entity will be carried out by the country's coordination mechanism and institutional arrangements, under the leadership of the NDA to the GCF, with the participation of other government agencies, as well as representatives from civil society and private sector, to ensure chosen priorities are fully aligned with national plans and strategies and adequately includes inputs from consulted stakeholders. This process will be open but not limited to Avina. As such, no conflict of interest arises from this support.

Annex 1. Terms of Reference: Project Administrator for overall Project Management

Main duties and responsibilities

- Develop work plans to implement project activities in a timely manner and in close coordination with the steering committee.
- Coordinate the selection and hiring process of all consultants under this project.
- Monitoring advances, results and risks and revising inputs on all deliverables of the project - Revise all deliverables, gather technical inputs and products.
- Convene, as required, meeting to decide on strategic matters of the project with relevant stakeholders.
- Manage the budget and monitor all expenditures of the project.
- Organize the logistics of all capacity building workshops
- Coordinate the logistics for workshops and meetings of this project, maintaining close dialogue with all service providers.
- Prepare intermediary and final narrative reports of the project.
- Undertake any other activity that might be required to ensure the full, timely and successful implementation of this project.

Salary: 1.100 USD/ month. Part-time (three days a week)

Qualifications, competences and experience:

- At least 5 years of experience in formulating, implementing and/or evaluating climate change projects.
- Master's Degree in Political Science, Economics, Project Administration.
- Solid experience in project management and excellent capacity to elaborate and follow work plans, supervise activities, provide strategic advice to the team, and manage budget and expenditures.
- Fluent in Spanish and excellent written English.
- Familiarity with the Green Climate Fund procedures and policies.
- A good understanding of the Ecuadorian national context, gender issues and socio and environmental safeguards.
- Excellent interpersonal skills and experience in articulating with stakeholders from different sectors and government levels.
- Availability to travel nationally on a frequent basis.
- Availability to work from the Ministry of Environment office.



Working hours: 24 hours/week (3 days a week)

Location and duration of assignment: 18 months in Quito.

ANNEX 2. SCHEDULE

